

Office of Legislative Affairs
Office Work Instruction
Responding to Congressional Correspondence

Original Approved by: s/_____
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Associate Administrator
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DOCUMENT HISTORY LOG

<u>Status</u> <u>(Baseline/</u> <u>Revision/</u> <u>Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		12/10/1999	.
Revision	A	5/10/2000	Place Quality Records in proper location on flow chart; correct typographical errors; better define disposition of comments.

1. Purpose

The purpose of this procedure is to document the process for responding to written inquiries from Members of Congress.

2. Scope and Applicability

- 2.1 This OWI covers the process by which the NASA Headquarters Office of Legislative Affairs (Code L) ensures that written correspondence from Members of Congress receive written responses which are well prepared and reflect NASA policy. The scope of this OWI applies to all correspondence from Congress, regardless of to whom it is addressed, with the exceptions noted in NPG 1450.4, Handling Congressional Correspondence and Information Concerning Congressional Activities. It does not include requests for materials resulting from attendance of NASA officials at Congressional hearings (See HOWI1311-L004, "Post Hearing Activities"). It also does not include correspondence sent to and from the NASA Office of the Inspector General.

3. Definitions

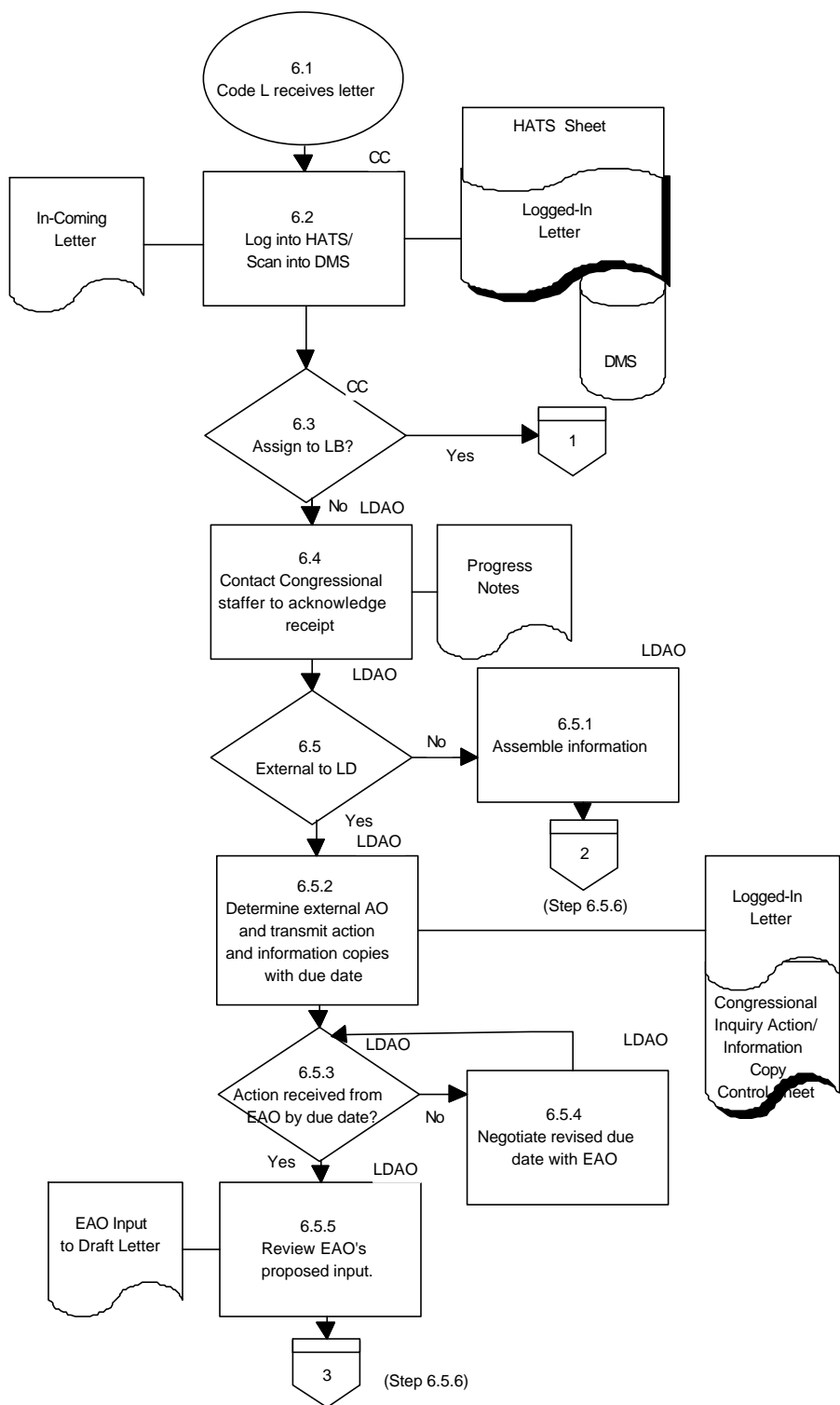
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|------|---------------------|---|
| 3.1 | <u>AA:</u> | Associate Administrator (Office of Legislative Affairs) |
| 3.2 | <u>ADS:</u> | Action Document Summary (NHQ Form 117) |
| 3.3 | <u>AO:</u> | Action Officer |
| 3.4 | <u>Case File:</u> | File which includes all documents pertinent to a case. These are not necessarily all quality records for purposes of this OWI. |
| 3.5 | <u>CC:</u> | Correspondence Clerk (Position Description is Program Support Assistant) |
| 3.6 | <u>Code B:</u> | Office of the Comptroller |
| 3.7 | <u>Code CIC:</u> | Headquarters Correspondence Management Office |
| 3.8 | <u>Code L :</u> | NASA Office of Legislative Affairs |
| 3.9 | <u>Code LB:</u> | Liaison Division |
| 3.10 | <u>Code LD:</u> | Congressional Inquiries Division |
| 3.11 | <u>Code LD Log:</u> | Log kept by Code LD secretary in which she records when a letter is sent to the AA for signature and when response is mailed out (Appendix D) |
| 3.12 | <u>DMS:</u> | Document Management System (Code L) |
| 3.13 | <u>EAO:</u> | External Action Officer (outside of the Office of Legislative Affairs) |
| 3.14 | <u>ECC:</u> | Electronic Carbon Copy (Electronic mail version of correspondence) |
| 3.15 | <u>E-mail:</u> | Electronic Mail |
| 3.16 | <u>HATS:</u> | Headquarters Action Tracking System |
| 3.17 | <u>LBAO:</u> | Action Officer from the Liaison Division (Position Description is Legislative Affairs Specialist) |
| 3.18 | <u>LBDD:</u> | Division Director, Liaison Division |

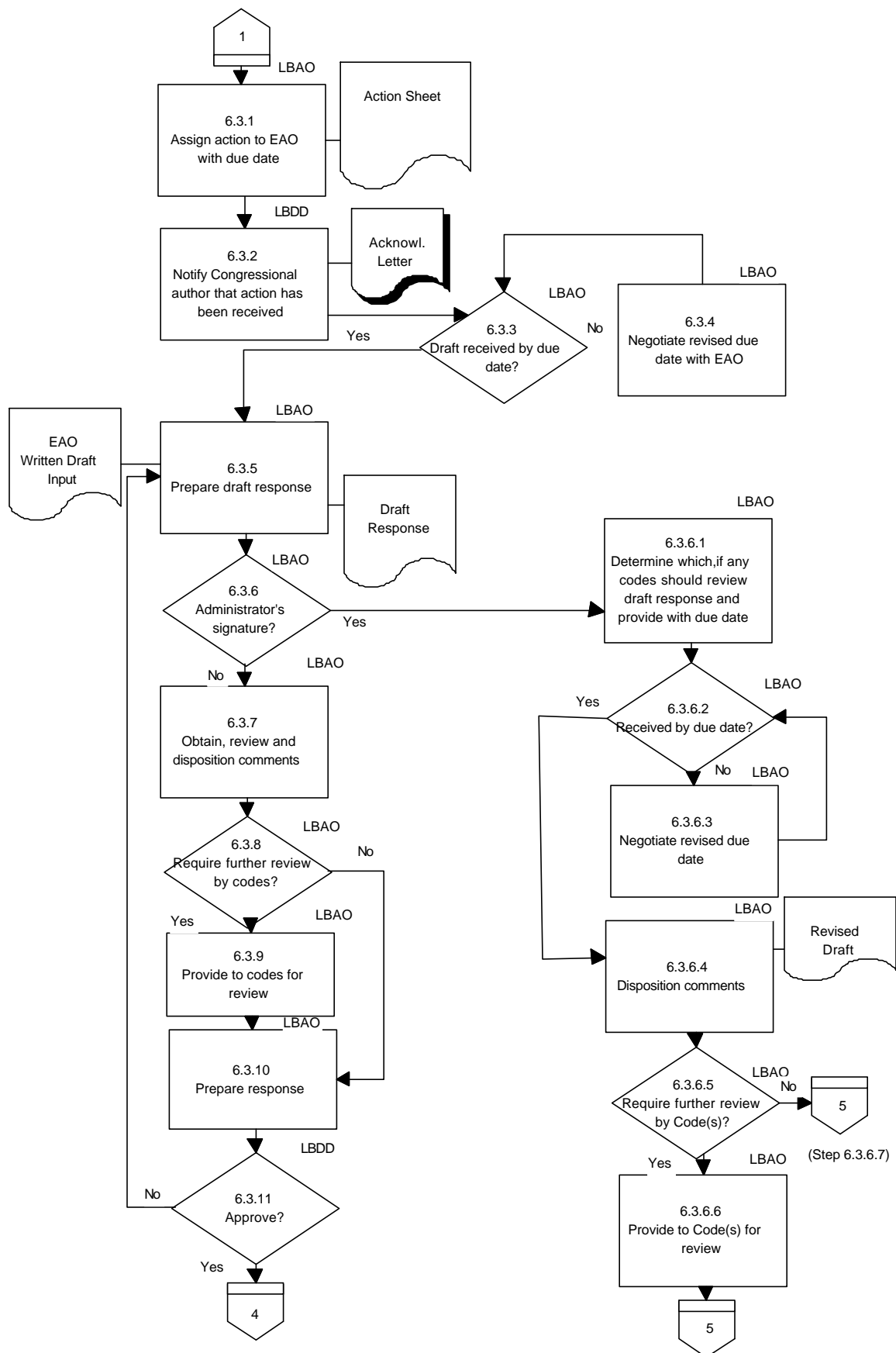
- 3.19 LDAO: Action Officer from the Congressional Inquiries Division (Position Description is Legislative Affairs Specialist or Legislative Affairs Officer)
- 3.20 LDDD: Division Director, Inquiries Division
- 3.21 Lead Sect: Lead Secretary for the Office of Legislative Affairs
- 3.22 OMB: Office of Management and Budget
- 3.23 Progress Notes: Sheet on which Code LD Legislative Affairs Specialist writes notes pertaining to action status and events. These notes are retained with the case file throughout the case activities and are filed with the case upon case closure. See Appendix B.
- 3.24 QA/QC: Quality Assurance/Quality Control
- 3.25 Sect.: Secretary in the Office of Legislative Affairs (any Division)
- 3.26 Yellow Copy: Copy of outgoing correspondence on which Code L employees initial approval; remains in case file as Quality Record.

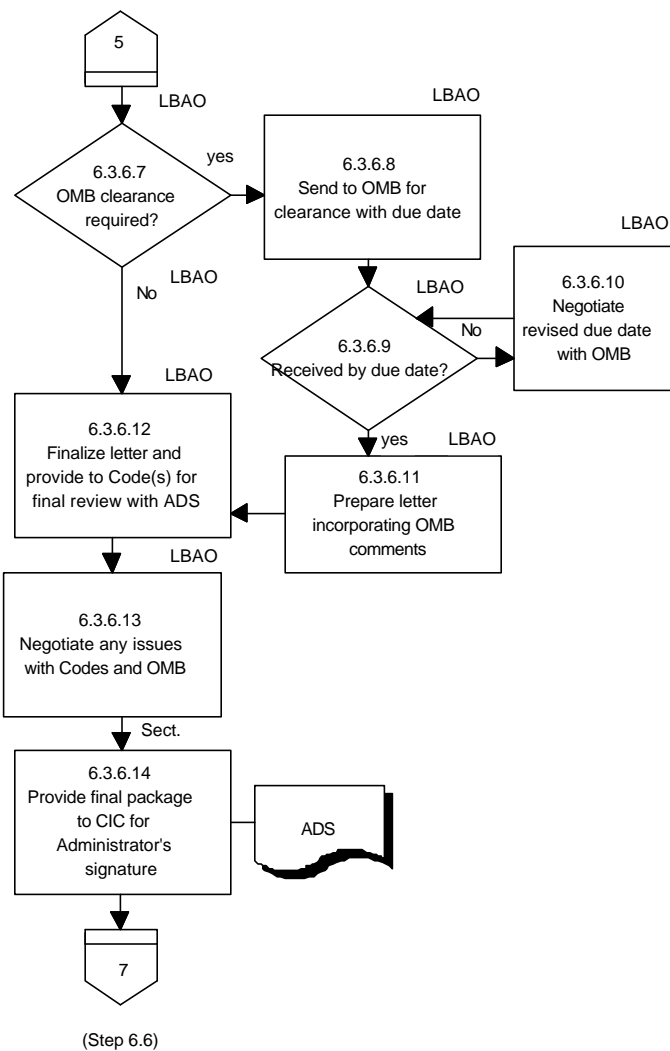
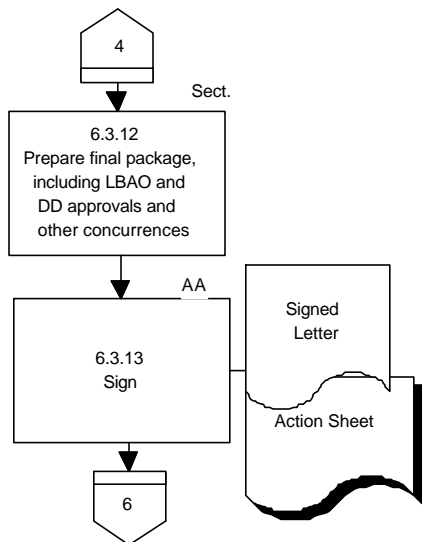
4. References

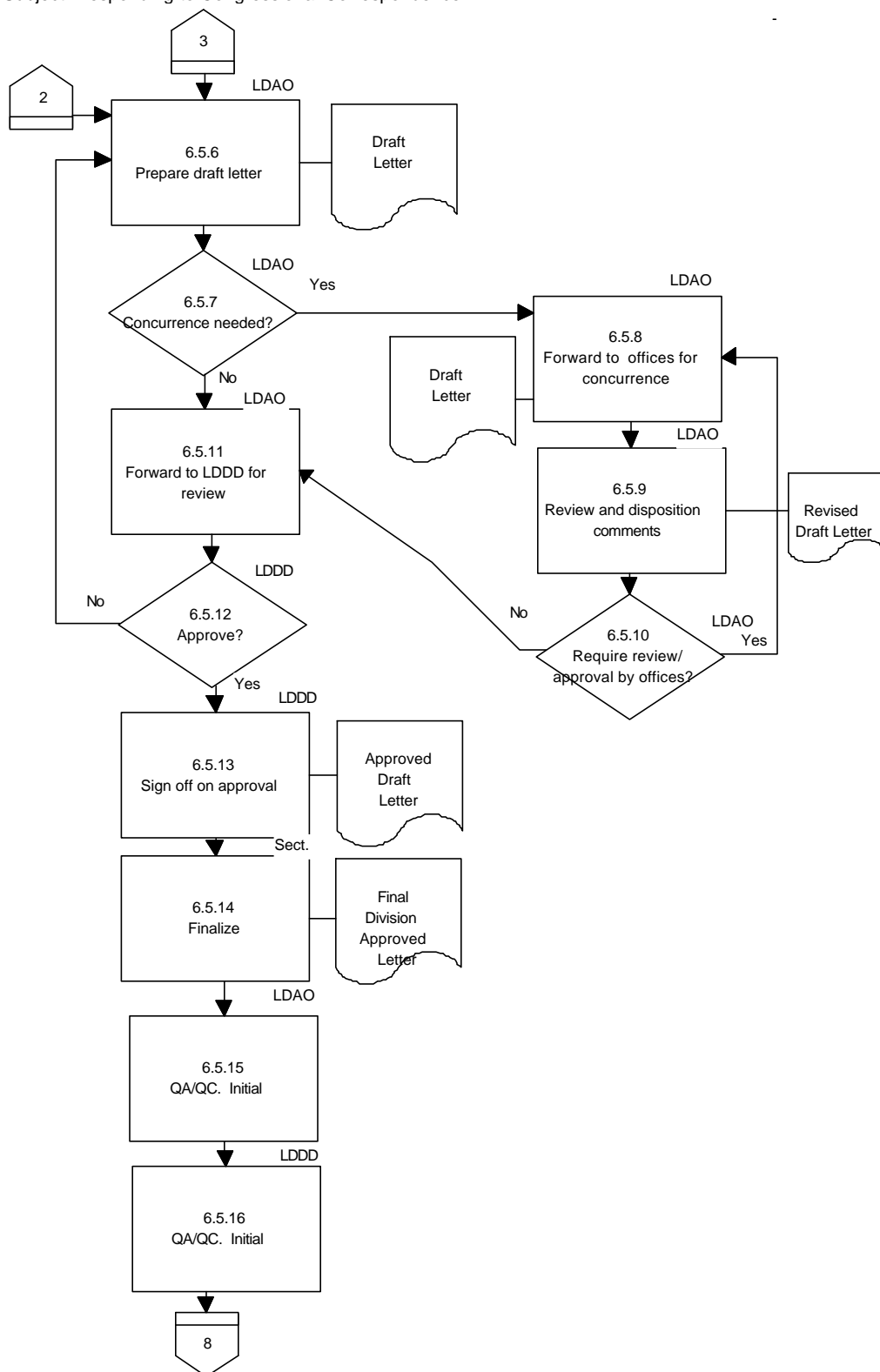
- 4.1 NPG 1450.4, Handling Congressional Correspondence and Information Concerning Congressional Activities

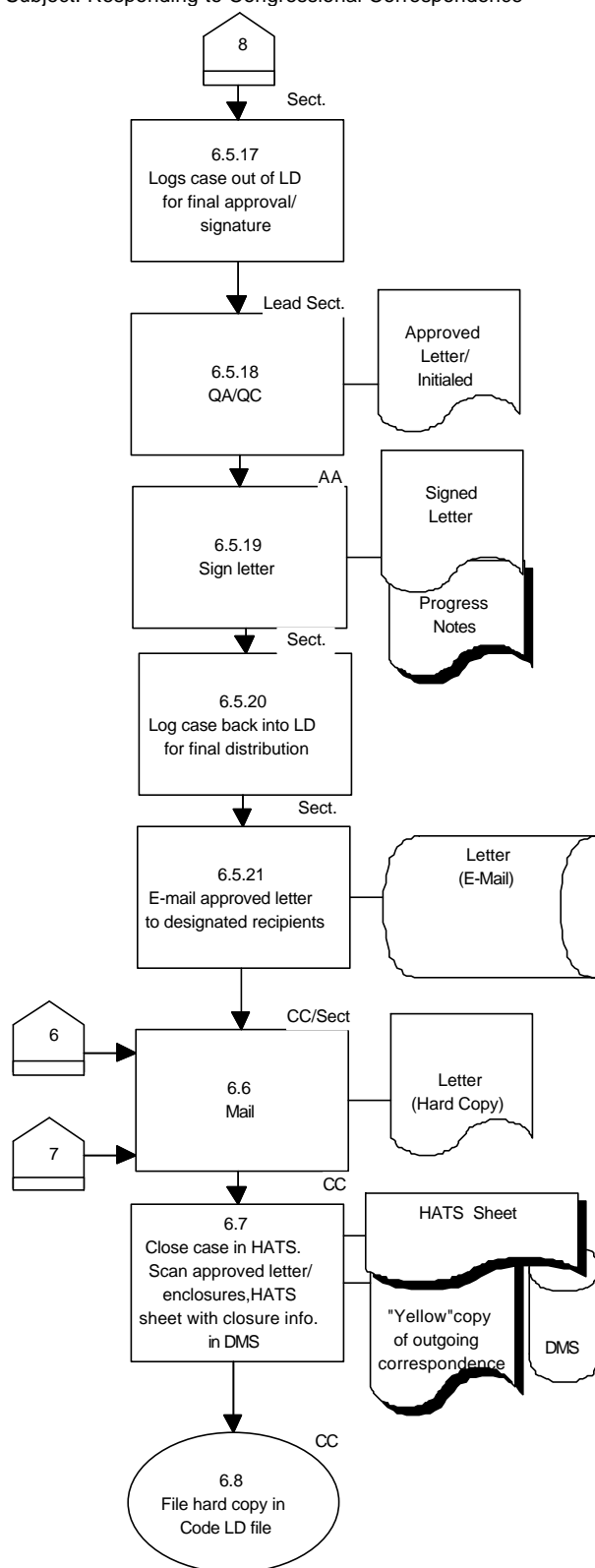
5. Flowchart











6. Procedure

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.1		Written correspondence from Congress received in Code LD. NPG 1450.4 describes Procedures and Guidelines for the delivery of Congressional correspondence to the Office of Legislative Affairs Congressional Inquiries Division.
6.2	CC	CC logs correspondence into HATS and determines Code L action office and action officer. Decisions based on subject matter of the correspondence and memos from the Deputy Associate Administrator for Legislative Affairs and Congressional Inquiries Division Director establishing assignments. (Latest versions of these memos available in Code L). By the nature of the correspondence and its author(s) CC determines whether the action should be assigned to personnel in Code LB or LD. If the Correspondence comes from a Congressional Committee and/or relates to significant issues of NASA policy, it is assigned to Code LB. All other correspondence is assigned to Code LD. The CC uses judgement and experience to make this determination. Establishes action due date of three calendar weeks from the date logged in unless author of correspondence requests an earlier due date. CC scans incoming correspondence and HATS sheet into the Code L DMS.
6.3	CC	If assigned to LB, go to 6.3.1; if assigned to LD, go to 6.4.
6.3.1	LBAO	LBAO reviews content of letter and determines the EAO. Determination of the EAO is based on the subject matter of the correspondence and the NASA HQ Code that is responsible for that subject. Using Action Sheet (Appendix A), LBAO provides incoming correspondence to the EAO with an assigned due date based on any date specified in the incoming correspondence and/or based on judgement and requests draft response. LBAO uses Action Sheet to document case status as case progresses.
6.3.2	LBDD	Sends letter to Congressional author acknowledging receipt of incoming correspondence.
6.3.3	LBAO	Did the LBAO receive the draft from the EAO by the due date? If not, go to 6.3.4; if yes, go to 6.3.5
6.3.4	LBAO	LBAO consults with EAO to settle on revised date for receipt of draft response from EAO. Go to Step 6.3.3
6.3.5	LBAO	Based on input from the EAO, LBAO prepares a draft response to the correspondence.
6.3.6	LBAO	LBAO recommends whether NASA Administrator should sign the outgoing correspondence. This determination is based upon expressed desire of the Administrator and/or other management officials; nature of the correspondence; Congressional Member(s) who wrote; any other factors judged to require the Administrator as the signatory. Go to Step 6.3.6.1 if Administrator's signature is required and go to Step 6.3.7 if not required.

- 6.3.6.1 LBAO If determined that Administrator is signatory, distributes copy of incoming letter and draft response for review. The LBAO determines who should review based on the subject matter of the correspondence and the NASA Headquarters Codes who are responsible for that subject matter. Provides due date for comment.
- 6.3.6.2 LBAO Were responses received by due date? If yes, go to 6.3.6.4; if no, go to 6.3.6.3
- 6.3.6.3 LBAO LBAO contacts organizations which have not responded and negotiates revised due date. Go to Step 6.3.6.2.
- 6.3.6.4 LBAO LBAO reviews comments. LBAO notifies provider of comments that are rejected and/or require negotiations. Upon disposition of comments/concurrence, LBAO prepares a revised draft of the response.
- 6.3.6.5 LBAO LBAO may choose to recirculate revised draft for further review if substantive changes have been made to the initial draft letter. This step is at the discretion of the LBAO and is based on judgement and experience of the LBAO.
- 6.3.6.6 LBAO Provides revised draft to appropriate codes for another review. Will disposition comments as described in Steps 6.3.6.4 and 6.3.6.5.
- 6.3.6.7 LBAO The LBAO determines whether draft response requires clearance by OMB. This determination is based on the subject matter, policy implications, sensitivity of the issue, need for Administration approval and other factors judged by the LBAO, through experience, consultation and knowledge, to suggest a need for OMB clearance. If OMB clearance is needed, go to Step 6.3.6.8; if not needed go to Step 6.3.6.12.
- 6.3.6.8 LBAO If it is determined that the draft response needs to be sent to OMB, the LBAO will provide OMB with a copy of the incoming letter and the draft response and will specify a due date for clearance based on lead-time required to complete action by date due.
- 6.3.6.9 LBAO Determines if OMB clearance received by due date. If no, go to 6.3.6.10; if yes go to 6.3.6.11.
- 6.3.6.10 LBAO Negotiates revised due date with OMB. Go to Step 6.3.6.9.
- 6.3.6.11 LBAO Should OMB have any comments on the proposed draft, the LBAO will notify the EAO and any other offices whom the LBAO determines should be notified of the comments. Any disagreements between OMB and NASA will be resolved via negotiations. LBAO will then prepare the letter recommended for signature.
- 6.3.6.12 LBAO LBAO determines which codes need to concur on the ADS based on subject matter of response and LBAO's knowledge and experience. Provides incoming letter, proposed response and ADS to codes for final review and concurrence.
- 6.3.6.13 LBAO Will negotiate any issues that arise in the ADS clearance process with respective codes who introduce these issues. If necessary, will bring OMB into negotiations to ensure that all parties are included in final disposition.
- 6.3.6.14 Secretary (LB) Provides the recommended letter and ADS to Code CIC for obtaining the Administrator's signature. Notes date of OMB

- approval on the ADS.(Go to Step 6.6)
- 6.3.7 LBAO If it is determined that Administrator's signature is not required, LBAO obtains necessary concurrence. Determination of who should be asked to concur is based on the LBAO's judgement and factors in subject matter, sensitivity, specific nature of any issues (i.e., legal issues so the lawyers would see or budget issues so the comptroller would see). If LBAO determines that OMB should review for Administration concurrence, see Step 6.3.6.8 through Step 6.3.6.11 for process flow. The LBAO reviews comments. LBAO notifies providers of comments that are either rejected or require further negotiation.
- 6.3.8 LBAO Decides whether and which codes should have opportunity for further review of draft. This depends on the substance of the changes made based on comments as well as the experience and judgement of the LBAO. If further review needed, go to 6.3.9; if not go to 6.3.10.
- 6.3.9 LBAO If determined that codes should review again, LBAO provides revised draft to codes for final code review.
- 6.3.10 LBAO Prepare response, incorporating comments.
- 6.3.11 LBDD The draft response is provided to the LB Division Director for approval. If the LBDD does not approve, return to Step 6.3.5.
- 6.3.12 Sect. Prepares package for submission to AA for signature. Package includes incoming letter, proposed response, comments received, the approval of the LBAO and LBDD (via initials on yellow copy of letter) and of other parties requested to concur.
- 6.3.13 AA Response provided to Code L AA for signature. Go to Step 6.6
- 6.4 LDAO For cases assigned to Code LD, the LDAO telephones the Congressional staffer to acknowledge that correspondence has been received and notes such on the Progress Notes (Appendix B). LDAO uses Progress Notes to document case status as case progresses.
- 6.5 LDAO The LDAO determines if he/she has information available to respond to inquiry without need to ask for additional input. This is based on the subject matter of the inquiry; complexity of inquiry; whether Code L has answered same issues in the past; response information readily available such as brochures, pictures. If no additional input is required, go to Step 6.5.1; if additional input required go to Step 6.5.2.
- 6.5.1 LDAO If LDAO determines can answer, assembles necessary information. Go to Step 6.5.6.
- 6.5.2 LDAO If LDAO determines input needed from other sources, determines EAO and information copy recipients and transmits action/info to the individuals using the LD action and information copy transmittal sheet. (See Appendix C). Determination of who receives action is based on subject matter of the incoming correspondence; determination of who receives information only copies of the correspondence is based on subject matter and LDAO's judgement and experience regarding those who might be called upon by the

- EAO and /or LDAO for assistance/concurrence as response is being prepared. Establishes due date for the action draft response. Standard is two weeks unless standard due date requires adjustment per the judgement of the LDAO.
- 6.5.3 LDAO Determines whether draft response received from EAO by the due date. If received by due date, go to Step 6.5.5; if not received by due date, go to Step 6.5.4.
- 6.5.4 LDAO If draft response not received from EAO by due date, negotiates revised due date with EAO. Go to Step 6.5.3.
- 6.5.5 LDAO Upon receipt of draft response from EAO, LDAO reviews proposed input and clarifies any questions/issue with the EAO.
- 6.5.6 LDAO Prepares draft response to the correspondence.
- 6.5.7 LDAO Determines whether concurrences are needed. This is based on the subject matter of the incoming correspondence and the proposed answer, sensitivity of subject, need for review of any policy issues (such as legal and/or budget), confirmation/clarification of the correctness of the proposed answer. If concurrences needed, go to Step 6.5.8; if not needed go to Step 6.5.11.
- 6.5.8 LDAO If concurrences are needed, forwards to office(s). Determination of concurring office(s) is based on subject matter and other items as described in 6.5.7
- 6.5.9 LDAO Reviews any comments received. Editing/typographical comments are incorporated as appropriate. Other comments are discussed and negotiated among the LDAO, EAO, and provider(s) of the comments. LDAO prepares update of the draft response. Concurrences/ comments are retained in the case file.
- 6.5.10 LDAO Determines whether revised draft needs again to be reviewed by offices. If yes, go to 6.5.8. If not, proceed to 6.5.11.
- 6.5.11 LDAO Provides draft letter to LDDD for review and approval.
- 6.5.12 LDDD If LDDD does not approve, go to Step 6.5.6.
- 6.5.13 LDDD LDDD edits as needed and indicates approval by initialing and dating the draft response.
- 6.5.14 Sect. Prepares final package which becomes the case file. Package includes incoming and response letters, any enclosures, copies (including a copy for the Member's file, the "yellow" which is the official quality record of the response for the file, a copy for the LDAO and any other copies needed as determined by the LDAO), concurrences, comments received, HATS sheet, Action and Information Control Sheets, progress notes, E-mails generated during preparation of response and any other material generated during the course of response preparation.
- 6.5.15 LDAO Performs QA/QC on final package and indicates approval via initials and date on the yellow copy. If corrections are required, returns to secretary to make.
- 6.5.16 LDDD Performs QA/QC on final package and indicates approval via initials and date on the yellow copy. If corrections are required, returns to secretary to make.
- 6.5.17 Sect. Makes entry in Code LD Log Book (Appendix D) noting incoming

- date of case and date sent to Lead Secretary.
- 6.5.18 Lead Sect. Performs QA/QC on final package and indicates approval via initials and date on the yellow copy. If changes are required, returns to LD secretary.
- 6.5.19 AA Lead Secretary provides to AA for signature. If any changes are required, AA returns case file to LD secretary.
- 6.5.20 Sect. AA returns signed letter to LD secretary who completes LD log by filling in date letter sent to author of incoming letter.
- 6.5.21 Sect. Electronically mails the final approved response to EAO, recipients of information copies, those who concurred and any others whom the LDAO determines should receive a copy of the final letter. LDAO determination of who should receive ECC is based on judgement, experience, ensuring that involved individuals are kept apprised of what is finally sent to author of incoming letter and LDAO determination of who has need to receive copies.
- 6.6 CC/Sect. Author of incoming letter receives a signed, mailed, hard copy response of the reply. Also receiving hard copy would be anyone else, as determined by the LDAO, LBAO, LBDD or LDDD who has a need to receive such a copy. Examples of that would be when the LDAO is able to answer a letter with material available but wants to ensure that the subject matter office is aware of the incoming letter and the response. Also occurs when someone is mentioned in a letter as a contact point and want to ensure person(s) is aware of mention and receives copies of both the incoming and outgoing correspondence.
- 6.7 CC Closes case in HATS; scans final package into DMS (file copy of signed response letter (i.e., "yellow" copy) plus enclosures plus updated HATS Control Sheet with closure date on it).
- 6.8 CC Files case file in Code LD Office files.

7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/ Disposition
Logged-in Letter	LD	Code LD Files	Hard Copy	Schedule 1, Item 27(A)	Retain for 5 years and then to Federal Records Center(FRC).
Congressional Inquiry Action/Information Copy Control Sheet	LD	Code LD Files	Hard Copy	Schedule 1, Item 27(A)	Retain for 5 years and then to Federal Records Center(FRC).
Action Sheet	LB	Code LD Files	Hard Copy	Schedule 1, Item 27(A)	Retain for 5 years and then to Federal Records Center(FRC).
Acknowledgement Letter	LB	Code LD Files	Hard Copy	Schedule 1, Item 27(A)	Retain for 5 years and then to Federal Records Center(FRC).
Action Document Summary (NHQ Form 117)	LB	Code LD Files	Hard Copy	Schedule 1, Item 27(A)	Retain for 5 years and then to Federal Records Center(FRC).
Progress Notes	LD	Code LD Files	Hard Copy	Schedule 1, Item 27(A)	Retain for 5 years and then to Federal Records Center(FRC).
Headquarters Action Tracking System (HATS) Sheet	LD	Code LD Files	Hard Copy	Schedule 1, Item 27(A)	Retain for 5 years and then to Federal Records Center(FRC).
"Yellow" copy of outgoing correspondence	LD	Code LD Files	Hard Copy	Schedule 1, Item 27(A)	Retain for 5 years and then to Federal Records Center(FRC).

APPENDICES

Appendix A: Code LB Transmittal Sheet, "Action, Congressional Inquiry" (Code L Shared Drive)

Appendix B: Progress Notes (Code LD Shared Drive)

Appendix C: Code LD Transmittal Sheet, "Congressional Inquiry: Action /Information Copy" (Code LD Shared Drive)

Appendix D: Code LD's Incoming and Outgoing Log Book (Year) (Code LD Shared Drive)

NOTE: Code L and LD Shared Drives requires password access to the Code L server; Appendices are available to individuals outside of Code L by request.

***** ***ACTION*** *****

CONGRESSIONAL INQUIRY

Appendix A

DATE:

ACTION OFFICE(S):

FROM:

SUBJECT: .

DUE DATE:

INSTRUCTIONS:

NOTES:

E X P E D I T E

**T H E A T T A C H E D
R E Q U I R E S
S P E C I A L H A N D L I N G**

December 10, 1999

PROGRESS NOTES

E-Mail : Yes_____ NO_____ E-mail Address:_____

[illegible]



CONGRESSIONAL INQUIRY

APPENDIX C

NASA Headquarters

Office of Legislative Affairs
Congressional Inquiries Division (Code LD)
Phone #: 202-358-1943
Fax #: 202-358-4343

DATE:

TO:

X ACTION:

Info copies were sent to:

INFORMATION COPY:

Action was sent to:

FROM:

Member:

Case Number:

Response Due Date:

Instructions for Responding: Please prepare a draft reply to the attached Congressional inquiry and send it via electronic mail. If you need clarification of this assignment – or additional time to prepare a reply – please contact the respective Legislative Affairs Specialist.

Specific Notes for this Action:

March 1, 2000

Appendix D
**LD's INCOMING & OUTGOING
LOG BOOK (CALENDER YEAR)**

Control #	Cong./Sen. Name	Incoming Date	Lead Sec't.	Outgoing Date

January 1, 1999